



Atty. Dkt. No. 040849-0209

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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Applicant: Zhihong YE et al.  
Title: A COMPACT, HIGHLY EFFICIENT POWER  
CONDITIONING SYSTEM FOR MICROTURBINE  
APPLICATIONS  
Appl. No.: 10/065,596  
Filing Date: November 1, 2002  
Examiner: Unassigned  
Art Unit: 2837

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.56**

Commissioner for Patents  
Box PATENT APPLICATION  
Washington, D.C. 20231

Sir:

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Submitted herewith on Form PTO/SB/O8 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

TIMING OF THE DISCLOSURE

The listed documents are being submitted in compliance with 37 CFR §1.97(b), within three (3) months of the filing date of the application.

RELEVANCE OF EACH DOCUMENT

All of the documents are in English.

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

Date

MADE  
December 30, 2002  
[Signature]

By

Michael D. Kaminski

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Substitute for form 1449B/PTO

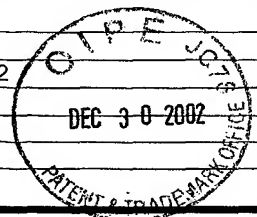
**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Date Submitted: December 20, 2002

(use as many sheets as necessary)

**Complete if Known**

Application Number	10/065,596
Filing Date	November 1, 2002
First Named Inventor	Zhihong YE
Group Art Unit	2837
Examiner Name	Unassigned
Attorney Docket Number	040849-0209



Sheet

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of

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**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	A1	5,008,801		Glennon	April 16, 1991	
	A2	5,691,892		Meyer et al.	November 25, 1997	
	A3	5,808,882		Mochikawa	September 15, 1998	
	A4	5,894,414		Jiang	April 13, 1999	
	A5	6,038,155		Pelly	March 14, 2000	
	A6	6,212,084		Turner	April 3, 2001	
	A7	6,256,213		Illingworth	July 3, 2001	
	A8	6,295,216		Faria et al.	September 25, 2001	
	A9	6,396,723		Mochikawa et al.	May 28, 2002	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	A10	WO	99/52193		Gilbreth et al.	October 14, 1999		

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>
	A11	J. Herminjard, "THREE-PHASE UNITY POWER FACTOR AC/DC CONVERTER (PFC) WITH DUAL ISOLATED DC/DC CONVERTER FOR A BATTERY CHARGER", EPE 1999, Lausanne, pp. 1-10	
	A12	Gregory Ivensky et al., "A NOVEL THREE-PHASE RECTIFIER WITH REDUCED THD", Power Electronics Laboratory Department of Electrical and Computer Engineering, Ben-Gurion University of the Negev, P.O. Box 653, Beer-Sheva 84105, Israel, 6 pgs.	
	A13	Johann Miniböck et al., "A NOVEL 10Kw 2-U THREE-PHASE UNITY POWER FACTOR RECTIFIER MODULE", 11 <sup>th</sup> International Symposium on Power Electronics - Ee 2001, Novi Sad, Yugoslavia, Oct. 31-Nov. 2, 2001, pp. 1-5	
	A14	Chongming Qiao et al., "THREE-PHASE UNITY-POWER-FACTOR VIENNA RECTIFIER WITH UNIFIED CONSTANT-FREQUENCY INTEGRATION CONTROL", Department of Electrical and Computer Engineering, University of California, Irvine, California 92697, pp. 1-6	

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.